

compliance catalyst

Customised analysis for risk assessment
and documentation



A Catalyst from Bureau van Dijk
Faster results – improved efficiency

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BUREAU VAN DIJK



worldcompliance
A LexisNexis® Company

What is compliance catalyst?

Compliance Catalyst is a risk assessment tool that streamlines Know Your Customer (KYC) and Anti-Money Laundering (AML) research.

We created Compliance Catalyst to help our customers use the 'compliance critical' information in our products more efficiently. It pulls relevant data from our existing Orbis/Mint Global databases into a tailor-made platform. We've also linked our company reports with information on politically exposed persons (PEPs), sanctions and other adverse data.

Compliance Catalyst automates steps in your on-boarding process, analysing various types of potential risk. You can tailor these analyses according to your in-house definitions, risk appetite and methodology. Using Compliance Catalyst you can rate risk concerning countries, sectors, state owned companies, PEPs, sanctions, other adverse data and your own data. It gives you access to full company, and director, reports plus original documents and filings. You can also add attachments to support your analysis.

The final output is a secure PDF report that includes your annotations, attachments, processes undertaken and decisions – complete with an audit trail of your research.

You can upload multiple companies for Compliance Catalyst to process – ideal for remediation exercises. These files can be new customers to on-board, or existing clients you need to review and monitor. You can add in companies, directors and beneficial owners into Compliance Catalyst so they can be included in your analysis even if they're not present in the Orbis dataset. These 'own entities' are kept private to your account.

Compliance Catalyst harnesses the power of valuable datasets in a purpose built platform. It can be completely aligned with your existing compliance processes. It helps you work more efficiently and accurately - and saves you huge amounts of time.

What's different about compliance catalyst?

Compliance Catalyst is the only place where you'll find PEP and sanction intelligence integrated with comprehensive corporate ownership structures. Companies' managers and directors are also screened against these PEP and sanction lists.

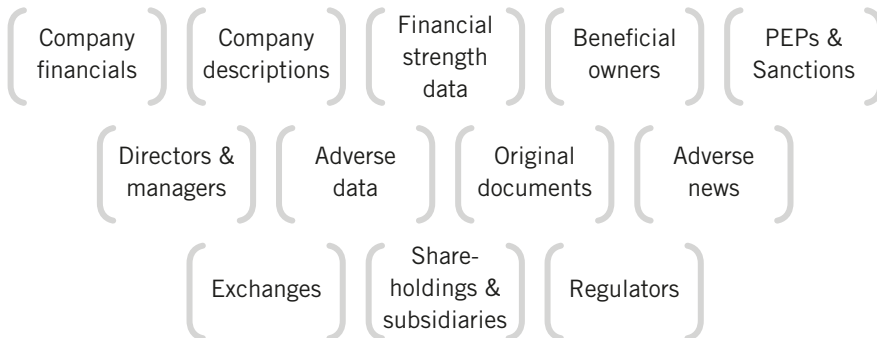
Compliance Catalyst saves you time, and not just because of its content and functionality. It allows you to review a corporate group as a whole – you don't need to research each part of the group separately. Compliance Catalyst creates a group-wide analysis so you can include all subsidiaries and shareholders when researching a company.

compliance catalyst

Customised analysis for risk assessment and documentation

A process and data driven dynamic compliance tool

I N P U T



Valuable compliance critical datasets

compliance catalyst

- Streamline your on-boarding process
 - Analyses and ranks risk
 - Screens across corporate groups
 - Automates processes
 - Provides an audit trail
 - Saves you time and improves your efficiency
- You can:**
- Add attachments
 - Capture screen grabs
 - Include your own data
 - Annotate
 - Create customised models and processes
 - Manage your workflow
 - Get a dashboard view on the status of your research



A purpose built platform



Your bespoke compliance documentation

Professional, secure hard copy and electronic reporting

O U T P U T

What information is integrated in compliance catalyst?

orbis

MintGlobal

We work with around 120 information providers to create our comprehensive databases of global business intelligence. They have information on both public and private companies and are regarded as 'reputable sources' for compliance researchers. They're ideal for company verification, telling you what a company does and where it's based. They also include financial data, information on directors, links to original filings and extensive corporate structures. This renowned corporate ownership data shows both direct and indirect ownership. The domestic and global ultimate owners are clearly indicated. This is a unique data set, and it's ideal for effectively researching beneficial ownership.

Exchanges

Information on all exchanges across the globe is stored within Compliance Catalyst. In setting up Compliance Catalyst you, or your account administrator, can choose which exchanges your firm recognises and treats as equivalent.

Regulators

A comprehensive list of regulators across the globe is stored in Compliance Catalyst with links to their websites to speed up your research.

News

We have created a customisable algorithm that's applied to the news feeds we receive from leading providers. This looks for adverse news stories associated with your subject company.

Your own data

You can include your own entities in Compliance Catalyst - entities that don't already exist in the Orbis database. You can also blend your own knowledge of companies and include this intelligence in your risk assessment. Data points could include information such as the product or service they're buying from you, how the business was acquired or other internal classifications. You can set the risk models to associate specific risk to these internal categories.

Search accelerator – launch a web search

Click to launch a pre-formatted web search for individuals or companies mentioned in Compliance Catalyst. This can be in Google, or your choice of search engine, and can be set to include your chosen key words. It's a useful tool that speeds up your research.



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WorldCompliance, a LexisNexis company, is a leading provider of compliance data and identity verification solutions. With over 2,500 clients in over 130 countries it is positioned to meet the unique compliance needs of customers worldwide.

WorldCompliance provides robust coverage of data related to sanctions, PEPs, fraud and reputation risks, including information about family members and close business associates. This data is relied on by clients to assess compliance risks and to comply with today's strict AML legislation. Dating from 2001, WorldCompliance data is updated and enhanced daily by a dedicated global team of analysts that use a range of LexisNexis tools, government websites and open source media to monitor information useful for detection of compliance risks worldwide.

The integration of WorldCompliance data into Compliance Catalyst means that you can use this information to help identify and assess AML, fraud and sanctions risks. WorldCompliance reports on individuals often include detailed information, such as biographical details and address information. This information can be used with in Bureau van Dijk's Compliance Catalyst to verify Ultimate Beneficial Ownership and assess risks associated with your customer.

compliance catalyst – the steps

You, or your administrator, can create your own bespoke model(s) to match your firm's risk appetite and existing protocol. You can create multiple models to apply as you wish.

When you do a new company search Compliance Catalyst immediately applies your chosen model to your company, showing you the risk associated with the various research steps. This helps you prioritise areas for your attention.

You can accept, override or edit any of Compliance Catalyst's proposed risk ratings, and make annotations as you go. You can tailor your analysis depending on the type, and relationship with, your subject company. All the information is included in a final, date stamped report. This report is suitable to use for KYC, customer due diligence and client on-boarding processes.

A list of processes that you can choose from includes: customer country, customer sector, stock exchange listings, beneficial owner and PEP/Sanction exposure, beneficial owner country, directors and PEP/Sanction exposure, director country, corporate group risk including subsidiaries and shareholders highlighting sanction exposure, country and sector risk and state owned company flag, negative news, FATCA, blacklist screening against your own data, conflict checking against your own data.

You can include all, or selected, steps from Compliance Catalyst detailed below, or even add in your own customised steps:

Client type

Stock Exchange listings

Shows if your subject company, and/or its Global Ultimate Owner, are listed on any Stock Exchanges that you recognise and deem equivalent. Links are provided to their listings for you to verify. You can use this

information to determine risk levels or the level of due diligence required per company. ISIN number (plus other relevant ID numbers) and IPO date are also provided if relevant. Compliance Catalyst automates capturing screen grabs from the exchanges' websites to include in your reports as proof of a company's listing.

Regulatory status

Links to regulators' websites are provided to speed up your research in identifying if a company is regulated and subsequently to assess risk and the level of due diligence required.

Beneficial owners

Integrating our own corporate ownership information, Compliance Catalyst indicates any known beneficial owner. You can set your own definitions of beneficial ownership – it can be as low as 10%. You can easily edit your definition so you can adapt it to the context of your subject company.

Compliance Catalyst creates a diagram showing the path from your subject company to its beneficial owner, or the company at the top of its ownership 'tree'. A tabular presentation is also given.

Compliance Catalyst also screens shareholders against PEP or other sanction and risk related data for you to accept or reject.

Directors

Compliance Catalyst screens known directors, and senior managers, against WorldCompliance's PEP and risk related data. Possible matches are highlighted – you then have the opportunity to accept or reject these matches. Photographs and additional information are included to assist, plus helpful shortcuts like our pre-formatted web search feature. This step also includes directors' reports from Orbis which contain directors' dates of birth, biographical data and other directorships.

Corporate Group Risk

This step ranks companies, and shareholders, in the same corporate group as your subject company, according to their exposure to risk – as defined in your risk model. The various risk factors include:

- **Sector** – what do the various parts of the group do, are they exposed to high risk industries?
- **Country** – where are organisations in the corporate group based?
- Are any parts of the group **state owned**?
- **Negative data** – including sanctions, across the corporate group

These are then ranked by risk, highest to lowest, so you can prioritise your research. The relationships between your subject company, and each subsidiary and shareholder, is clearly indicated.

FATCA

Of particular relevance to financial institutions, this step examines companies to see if they are listed, what their FATCA classification is (FFI; NFFE Active and NFFE Passive), as well as performing background checks relating to IGA, GIIN and US beneficial ownership exposure.

Managing your research

Using Compliance Catalyst you can manage your, or your team's, research portfolio. It's ideal to get an overview on your research and a history of work completed. You can see the research in the workflow and share analyses across the team.

Compliance Catalyst gives you a summary, and outcome, of each step of your analysis and a précis report on your subject company.

compliance catalyst – simple to use

Compliance Catalyst works using a series of steps, called processes. These processes can be aligned to your own assessment model. They can use BvD data, your own data, or a combination. And you can tailor how the risk ratings are applied to match your internal models and risk appetite.

STANDARD PROCESSES

Combine elements of BvD data, WorldCompliance data and adverse media

BESPOKE PROCESSES

Use any BvD data elements and assess risk using your own rationale

OWN DATA PROCESSES

Create a process unique to your own model using your own data with the option to combine it with BvD data

EXAMPLES

- Beneficial owners
- Directors
- Corporate risk
- News

- Country risk
- Sector risk
- Size (turnover)
- Financial strength
- Employee numbers

- Customer category
- Sales manager
- Sales channel
- Office
- Questionnaire

Working with the information

Choose your environment – tailor Compliance Catalyst to suit you

Compliance Catalyst is not just a comprehensive data tool – it can easily be integrated with your workflow, tailored to your environment and implemented as an end-to-end solution. You can choose how you incorporate it in your firm.

- Use all the steps or be selective.
- Use our processes or create your own.
- Use data from Orbis and WorldCompliance or bring in your own content.

You can also choose whether to use the Compliance Catalyst interface, or to use your own in-house front-end. We can advise you on how you can use Web Services to create the ideal solution for your firm, including building custom processes and integrating your own, or other, external content.

Monitor

Once you've assessed a company, you'll need to monitor it. Our alerts will notify you to a wide range of changes, and new intelligence that could affect their client status. Tailor them to suit your risk appetite and scheduling preferences.

Access data via Orbis or Mint Global

As well as using our compliance platform via Compliance Catalyst, you can also access the Orbis and Mint Global databases for general company research and screening. Full company reports can be automatically appended to your reports generated in Compliance Catalyst.

Check for conflicts of interest

We can tell you if two companies are linked - even remotely. So you can screen potential customers against your entire client, or conflict checking file, to identify any links or potential conflicts.

Compliance Catalyst – the ultimate compliance tool

- ✓ Recognised data sources and expertise
- ✓ Extensive corporate ownership structures
- ✓ Wide-ranging PEP, Sanction and adverse data matched with company data
- ✓ Time-saving
- ✓ Simple to implement and integrate with your workflow
- ✓ Blend your own data into your risk analysis
- ✓ Comprehensive, global company coverage
- ✓ Tailored risk environment for your firm
- ✓ Easy to include supporting attachments
- ✓ Get a dashboard view of the status of your research
- ✓ Secure output with full annotation and audit trail
- ✓ Custom alerts and monitoring
- ✓ Multiple models, and processes, for a range of analyses



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